



Office of Enterprise Compliance
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September 14, 2010

AGENDA ITEM 4a

TO: MEMBERS OF THE FINANCE COMMITTEE

- I. SUBJECT:** Office of Enterprise Compliance Quarterly Report
- II. PROGRAM:** Compliance
- III. RECOMMENDATION:** Information Only
- IV. ANALYSIS:**

The attached Quarterly Status Report for the second quarter of 2010 provides an update of the Annual Plan from the Office of Enterprise Compliance.

V. STRATEGIC PLAN:

This item is not a specific product of the Strategic Plan but is part of the regular and ongoing workload planned for the Office of Enterprise Compliance.

VI. RESULTS/COSTS:

N/A

MARYLEE MIGLINO
Assistant Division Chief

SHERRY A. JOHNSTONE
Chief Compliance Officer

PETER H. MIXON
General Counsel

Attachment